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Attorney Docket No.

97005-US-DIV1

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Cora M. Utley
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Christopher L. Chua et al.

Group Art Unit: 2828

Application No.: 09/933,960

Examiner: James A. Menefee

Filed: August 20, 2001

Confirmation No.: 9309

For: METHOD AND STRUCTURE FOR ELIMINATING POLARIZATION INSTABILITY IN LATERALLY - OXIDIZED VCSELS

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Sir:

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Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form, except for U.S. Patents, or published or IFW (Image File Wrapper) available U.S. applications. It is respectfully requested that the references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☐ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (excluding an RCE), **OR** (b) before the mailing date of a first Office Action on the merits (including an RCE). *No certification or fee is required.*
- ☒ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached.)*
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- ☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.
- ☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.
- ☐ 7. Copies of some or all of the subject references were cited or submitted to the Office in related parent Application No. _____, filed _____, which is relied upon under 35 U.S.C. §120. Thus, copies of those references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).



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Signature under 37 CFR 1.33 & 34

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Date April 7, 2006

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Form PTO-1449		US Dept. of Commerce PATENT & TRADEMARK OFFICE		ATTY DOCKET NO. 97005-US-DIV1		APPLICATION NO. 09/933,960	
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				APPLICANT Robert L. Thornton			
				FILING DATE 8/20/2001		GROUP ART UNIT 2828	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE		CLASS	SUB CLASS	
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	4,233,387	11/11/80	Joseph Mammino		430	137	
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	EP	0 898 344 A2	2/24/1999	Hewlett-Packard Company	
	JP	09223841 A	8/26/1997	Nippon Telegr & Teleph Corp	

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OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

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